



PATENT  
Customer No. 22,852  
Attorney Docket No. 08350.0670

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Paul D. HILLMAN et al. ) Group Art Unit: 3748  
)  
Application No.: 10/688,117 ) Examiner: Thai-Ba Trieu  
)  
Filed: October 17, 2003 )  
) Confirmation No.: 9244  
For: ENGINE AIR CHARGE SYSTEM )  
WITH BRANCH CONDUITS ) **ALLOWED: AUG. 22, 2005**

**Mail Stop: Issue Fee**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**REQUEST FOR UPDATED/CORRECTED FILING RECEIPT**

We are forwarding herewith a copy of a Filing Receipt for the above-identified patent application. The Filing Receipt does not reflect the second inventor's residence and name of the Assignee, Perkins Engines Company Limited. Accordingly, please add the second inventor's residence (**Hale, United Kingdom**) and a new section entitled:

**Assignee: Perkins Engines Company Limited, Peterborough, United Kingdom.**

The requested corrections are shown in ink on the attached copy of the Filing Receipt.


Applicants have attached copies of the Assignment filed March 12, 2004.

It is respectfully requested that a corrected Filing Receipt be issued as soon as possible. The application was allowed on August 22, 2005.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: October 7, 2005

By:   
Clifford D. Crowder  
Reg. No. 56,639

VLM  
Kau

## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/688,117	10/17/2003	3748	770	00-670	3	20	3

719  
CATERPILLAR INC. JJC  
100 N.E. ADAMS STREET  
PATENT DEPT.  
PEORIA, IL 616296490

CONFIRMATION NO. 9244

## FILING RECEIPT



\*OC000000011732525\*

Date Mailed: 01/21/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Paul D. Hillman, Sutton-in-Ashfield, UNITED KINGDOM;  
Stephen P. Middleton, ~~Residence Not Provided~~, Hale, United Kingdom

Assignee: Perkins Engines Company Limited, Peterborough,  
Domestic Priority data as claimed by applicant

United  
Kingdom

## Foreign Applications

UNITED KINGDOM 0224130.5 10/17/2002

If Required, Foreign Filing License Granted: 01/21/2004

Projected Publication Date: 04/29/2004

Non-Publication Request: No

Early Publication Request: No

## Title

Engine air charge system with branch conduits

Preliminary Class

RECEIVED  
INTELLECTUAL PROPERTY

JAN 28 2004

CATERPILLAR INC.

123

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

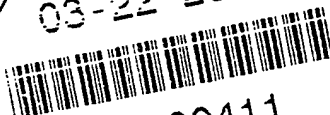
The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

3/16/04  
OCT 07 2005  
PATENT & TRADEMARK OFFICE

03-22-2004



1027.00411 ONLY

Form PTO-1595  
(Rev. 10/02)  
OMB No. 0651-0027 (exp. 8/30/2005)  
Tab settings → → →

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Paul D. Hillman  
Stephen P. Middleton

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

04/10/2003  
Execution Date: 10/16/2003

## 2. Name and address of receiving party(ies):

Name:  
Perkins Engines Company Limited  
Internal Address:  
Eastfield  
Peterborough  
PE1 5EA  
UNITED KINGDOM

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

## A. Patent Application No.(s)

10/688,117

## B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

John J. Cheek  
Caterpillar Inc.  
Intellectual Property Department, AB6490  
100 N. E. Adams Street  
Peoria IL 61629-6490

6. Total number of applications and patents involved: ☒ 1

## 7. Total fee (37 CFR 3.41) ..... \$ 40.00

- ☐ Enclosed  
☒ Authorized to be charged to deposit account

## 8. Deposit account number:

03-1129

DO NOT USE THIS SPACE

## 9. Signature.

Docket Number: 00-670

John J. Cheek

Name of Person Signing

Signature

03/12/2004

Date

Total number of pages including cover sheet, attachments, and documents: ☒ 02

Mail documents to be recorded with cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

03/19/2004 NSETACHE 00000054 031129 10688117

## ASSIGNMENT

WHEREAS, STEPHEN P. MIDDLETON, residing at Hale, United Kingdom, hereinafter referred to ASSIGNOR has invented together with Paul D. Hillman a new and useful

### ENGINE AIR CHARGE SYSTEM WITH BRANCH CONDUITS

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on \_\_\_\_\_; and

WHEREAS, Perkins Engines Company Limited, a corporation organized and existing under and by virtue of the laws of the United Kingdom, and having a place of business at Peterborough, United Kingdom, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR;

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.

3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Perkins Engines Company Limited


4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR'S heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

  
\_\_\_\_\_  
STEPHEN P. MIDDLETON

16-oct-03  
\_\_\_\_\_  
Date

IN WITNESS OF the execution hereof by STEPHEN P. MIDDLETON we have hereunto set our hands.

  
\_\_\_\_\_  
Witness (1)                      16<sup>th</sup> OCT 03  
Date

  
\_\_\_\_\_  
Witness (2)                      16/10/03  
Date

Address: THE BEECHES,  
HIGH HOUSE RD, ST BEES  
CUMBRIA, CA27 0BY.

Address: 45 CEDAR RD.  
ALTRINCHAM  
CHESHIRE WA15 9TB,

## ASSIGNMENT

WHEREAS, PAUL D. HILLMAN, residing at Sutton-in-Ashfield, United Kingdom, hereinafter referred to ASSIGNOR has invented together with Stephen P. Middleton a new and useful

### ENGINE AIR CHARGE SYSTEM WITH BRANCH CONDUITS

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on \_\_\_\_\_; and

WHEREAS, Perkins Engines Company Limited, a corporation organized and existing under and by virtue of the laws of the United Kingdom, and having a place of business at Peterborough, United Kingdom, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR;

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.

3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Perkins Engines Company Limited


4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR'S heirs and legal representatives.


IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

  
\_\_\_\_\_  
PAUL D. HILLMAN

10/APRIL/2003  
Date

IN WITNESS OF the execution hereof by PAUL D. HILLMAN we have hereunto set our hands.

  
Philip S. Brookes 10 April 2003  
Witness (1) Date

  
John Rollington 10 April 03.  
Witness (2) Date

Address: Rosewood Cottage, Copple Brook  
Bracton Sparfords  
ST17 0TQ UNITED KINGDOM

Address: 19 LARCH FIELDS  
STONE  
STAFFS - ST15 0DD.